Research Administrators Forum
February 9, 2012

Welcome

Marcia Smith
Associate Vice Chancellor for Research
Agenda

- Welcome and Announcements – Marcia Smith

- Data Management Tool
  - Sharon Farb, Associate University Librarian, and
  - Todd Grappone, Associate University Librarian for Digital Initiatives and IT

- OHRPP/Office of Radiation Safety Committees – Kathy Wadsworth

- OCGA Initiatives – Patti Manheim
  - Streamlining Proposal and Award Processes Phase I - Report on Award Intake Pilot Project
  - Streamlining Proposal and Award Processes Phase II - Proposal Deadline Statistics and Notices, Minimum Proposal Submission Requirements and Phasing In Proposal Intake
  - NIH Salary Cap Guidance for Proposals and Awards

- EFM Initiatives – Tracey Robertson
  - NIH Salary Cap Guidance for Post Award Management
  - Single Fund Number Initiative
  - ARRA Funds and Spending Timelines
  - Fund Closeout – Department Threshold for Recertification

- RPC Update – Ann Pollack
  - Policy 900 – PI Eligibility
Upcoming ORA Training Opportunities

- **Proposal Preparation & Submission**
  - February 22, 2012 – 9:00 am – 3:30 pm

- **Subawards in S2S Grants**
  - February 23, 2012 – 9:00 am - Noon

- **Post Award Administration**
  - March 28, 2012 – 9:00 am– 3:30 pm

- **Effort Reporting**
  - April 2, 2012 – 9:00 am – 3:30 pm

- **Rapid Close-Out Tool**
  - April 3, 2012 – 9:00 am - Noon
Please fill out the survey forms
DMP Tool for Data Management Plans

Todd Grappone and Sharon E. Farb
Presented to the Research Administrators Forum (RAF)
February 9, 2012
NSF Awards to UCLA in FY 2010-11

• $84,364,252.00
• 7.8% of awarded dollars to UCLA come from NSF
Federal Dollars for Science and Engineering

• UCLA was ranked 5\textsuperscript{th} in 2007 (most recent data available from NSF)

• UCLA is consistently ranked in the top 10
NSF Requirement for Data Management Plan (DMP)

“Proposals must include a supplementary document of no more than two pages labeled ‘Data Management Plan.’ This supplement should describe how the proposal will conform to NSF policy on the dissemination and sharing of research results.”
Reasons for the DMP Tool

• NSF requirements for data management plans beginning Jan 2011
  – For instance, University of California researchers received over $600 million from NSF in FY 2010/11
• Other agencies following suit: NEH, IMLS
• NIH has data sharing requirements
UCLA Project participants

- Todd Grappone
- Judy Consales
- Sharon Farb
- Lisa Federer
- Courtney Hoffner
- Tony Aponte
- Anita Colby
- Claudia Horning
- Jen Weintraub
- Stephen Davison
- Gary Thompson
- Darrow Cole
- Dawn Setzer

data@library.ucla.edu  February 9, 2012
Data Management

this concept refers to the activities in the research lifecycle that involve some aspect of planning, collecting, processing, editing, preparing, documenting, verifying, analyzing, preserving, discovering and repurposing data; a Data Management Plan should articulate how these data activities will be conducted in a research project;

The “WHAT” of e-research data activities
Data Stewardship

this concept refers to the individuals, parties or institutions taking responsibility for data management activities across the research lifecycle; a Data Management Plan should identify the data stewards associated with a research project;

The “WHO” involved in e-research data activities
DMP Tool for Data Management Plans

- Helps researchers meet requirements of NSF and other U.S. funding agencies.
- Guides researchers through the process of creating a data management plan.
- Is available to everyone.
- Provides additional help for researchers at DMP Tool partner institutions – like UCLA.
“Investigators are expected to share with other researchers, at no more than incremental cost and within a reasonable time, the primary data, samples, physical collections and other supporting materials created or gathered in the course of work under NSF grants. Grantees are expected to encourage and facilitate such sharing.”
Goals of the DMP Tool, I

• To provide researchers a simple way to create a Data Management Plan by giving them information from the funding agency:
  – Questions asked by the agency
  – Any additional explanation or context provided by the agency
  – Links to the agency website for policies, help, guidance
Goals of the DMP Tool, II

• To provide researchers with additional information from their local institution:
  – Resources and services to help them manage data
  – Help text for specific questions
  – Suggested answers to questions that they can simply cut-and-paste
  – News and events related to data management on their campus
In many cases, get data management advice and resources for your specific institution.

Data Management Plan
Atmospheric CO2 Concentrations,
Mauna Loa Observatory, 2011-2013

Recent DMP News

DMPTool workshop at the DLF Fall Forum
DMPTool demo: Wed Oct 19
Importance of Data Management Education

More news >
In many cases, get data management advice and resources for your specific institution.

The DMP Tool allows you to:

1. 2. 3. 4.
# Funder Requirements

<table>
<thead>
<tr>
<th>Funder</th>
<th>Funder Link</th>
<th>Sample Plan</th>
<th>Funder Requirements Template</th>
<th>Supported in DMP Tool</th>
</tr>
</thead>
<tbody>
<tr>
<td>IMLS</td>
<td>Guidance</td>
<td></td>
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<tr>
<td>NEH – Office of Digital Humanities</td>
<td>Guidelines</td>
<td></td>
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</tr>
<tr>
<td>NSF – General</td>
<td>Grant Proposal Guide</td>
<td>NSF-GEN Sample 1, NSF-GEN Sample 2</td>
<td>Template [RTF]</td>
<td></td>
</tr>
<tr>
<td>NSF – Astronomical Sciences</td>
<td>Advice to PIs</td>
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<tr>
<td>NSF – Atmospheric &amp; Geospace Sciences</td>
<td>AGS Advice</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NSF – Biological Sciences</td>
<td>Information</td>
<td>NSF-BIO Sample 1, NSF-BIO Sample 2</td>
<td>Template [RTF]</td>
<td></td>
</tr>
<tr>
<td>NSF – Chemistry</td>
<td>Advice to PIs</td>
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<tr>
<td>NSF – Earth Sciences</td>
<td>Guidelines</td>
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<tr>
<td>NSF – Education &amp; Human Resources</td>
<td>Guidance</td>
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<tr>
<td>NSF – Engineering</td>
<td>Guidance</td>
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<tr>
<td>NSF – Materials Research</td>
<td>Advice to PIs</td>
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<tr>
<td>NSF – Mathematical Sciences</td>
<td>Advice to PIs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NSF – Social, Behavioral &amp; Economic</td>
<td>Contents</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NSF – Physics</td>
<td>Advice to PIs</td>
<td></td>
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</tr>
</tbody>
</table>

As new Data Management Plan Guidelines become available, they will be added to this page and eventually to the DMPTool.

**Disclaimer**

The sample plans provided here may or may not be associated with successful grant applications. They may contain details not relevant to your specific project. They are provided only to illustrate representative responses.

### Funder Key

- **NSF** = National Science Foundation
- **NEH** = National Endowment for the Humanities
- **IMLS** = Institute of Museum and Library Services

### Additional DMP Tool Help

- DMP Tool Guide
- Video Demo

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DMP TOOL is a service of the University of California Curation Center of the California Digital Library.

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Privacy Policy | Terms of Use | Photo Credits
In many cases, get data management advice and resources for your specific institution.

The DMP Tool allows you to: 1 2 3 4

See a plan created with the DMP Tool

Recent DMP News

DMPTool workshop at the DLF Fall Forum

DMPTool demo: Wed Oct 19

Importance of Data Management Education

More news >
Get Started

Login

If your institution is listed below the DMP tool will provide links to local data management resources and support available to you.

If you're using the DMP tool for the first time you'll be prompted to provide some additional information.

Select Your Institution

I am a:
- new user
- returning user

Anyone can use the DMP Tool

Don't see your organization in the list? You can still use the DMP Tool... just select "None of the above" and you'll be able to create an account or login.
Create a DMPTool account

* First name

* Last name

* Username

* Password

* Repeat Password

* Email

Institution: UCLA

Create Account  Reset Form

* indicates a required item.
Add local information

• Help text, Links to resources and services, Suggested answers, Contact information

• Information can be added at various levels for researchers at UCLA:
  – All data management plans
  – All data management from a particular funding agency, e.g., NSF Biological Sciences Directorate
  – A particular question within a data management plan

https://bitbucket.org/dmptool/main/wiki/Documentation
Questions?

• Contact us at data@library.ucla.edu to participate
• Important links:
  – Funder Templates:
    https://bitbucket.org/dmptool/main/wiki/Documentation
  – DMPTool Blog:
    http://blogs.library.ucla.edu/dmptool
• Create a persistent identifier: DOI or ARK
• Add object location
• Add metadata
• Update object location
• Update object metadata
The New Group at ORA

Kathy Wadsworth
ORSC and OHRPP Policy & Education
Need for Increased Oversight

Cedars-Sinai radiation overdoses went unseen at several points

The dosage -- eight times the programmed amount -- appeared on technicians' screens during CT scans. Doctors also missed the problem. Experts say blind trust of medical machinery is a growing concern.

October 14, 2009 | Alan Zarembo

Every time a patient receives a CT scan, a mundane array of numbers appears on a computer screen before a technician.

The numbers include the radiation dose.

Radiation Offers New Cures, and Ways to Do Harm

By WALT BOGDANICH

As Scott Jerome-Parks lay dying, he clung to this wish: that his fatal radiation overdose — which left him deaf, struggling to burned, with his teeth falling out, with ulcers in his mouth and throat, nauseated, in severe pain and finally unable to breath about publicly so that others might not have to live his nightmare.
What is the ORSC?

Provides administrative support for the Radiation Safety Committee (RSC) and 4 subcommittees:

- Medical Radiation Safety Committee (MRSC)
- Radioactive Drug Research Committee (RDRC)

* New subcommittees:

- Academic Radiation Safety Committee (ARSC)
- Clinical Operations Radiation Safety Committee (CORSC)
Radiation Safety Program

- Administrative Vice-Chancellor
  - EH&S Director
  - Radiation Safety Officer
  - Radiation Safety Division

- Vice-Chancellor for Research
  - Office of Research Administration (ORA)
  - OHRPP
  - IRB
  - Human Research Policy Board

- UCLA Radiation Safety Committee (RSC)
  - Academic Radiation Safety Committee (ARSC)
  - Clinical Operations Radiation Safety Committee (CORSC)
  - Medical Radiation Safety Committee (MRSC)
  - Radioactive Drug Research Committee (RDRC)
Welcome

The Office of Radiation Safety Committees (ORSC) is dedicated to providing administrative support to UCLA's Radiation Safety Committee and subcommittees.

News

Posted On 12/12/2011
New Regulatory Guidance for PET Radiopharmaceuticals
New regulatory guidance went into effect December 12, 2011 regarding positron emission tomography (PET) radiopharmaceuticals... » read more

Posted On 12/9/2011
Radiation Safety Committee Reorganization
At the request of Vice Chancellor for Research James Economou, the Radiation Safety Committee and subcommittees underwent reorganization... » read more

http://ora.research.ucla.edu/ORSC/
OCGA Updates

Patti Manheim, Director
February 09, 2012
STEAMLINING PROPOSAL AND AWARD PROCESSES

• PHASE I – Award Intake and Set-Up Pilot Initiated:
  - OCGA launched a joint initiative focused on improving processing timelines for unilateral awards and receipt and tracking of complex awards
  - **Awards Processed to Date:** 458 awards
  - **Average Turnaround Time:** 3.6 days from Award receipt to account set up
STEAMLINING PROPOSAL AND AWARD PROCESSES

Award Set Up Time Has Improved by 80%

18 Business Days

3.6 Business Days

Expedited Unilateral Awards

- Non-Pilot Awards Processing Timelines
- Pilot Awards Processing Timelines
STEAMLINING PROPOSAL AND AWARD PROCESSES

• Benefits:
  ▪ Quicker Access to Funds
  ▪ Timely and Consistent Communication at Key Process Points:
    • Award Received
    • Award Set Up Complete
  ▪ Key Data to Understand:
    • Where an Award is in the Process
    • What is Holding Up Activation
  ▪ Reduction of retroactive transactions due to late account set-up
60% of the proposals received by OCGA are considered “incomplete”

Incomplete proposals risk the following:
- Delayed award set-up
- Insufficient time for a meaningful OCGA review because we are waiting for at least the minimum documents
- Full compliance with sponsor regulations is not ensured if we do not have the sponsor regulations
- Insufficient time to correct errors/validations that arise from sponsor systems
STEAMLINING PROPOSAL AND AWARD PROCESSES

OCGA will pilot the following Proposal Intake Process with select departments:

• Specific staff will become the central contact for receipt of all proposals

• OCGA will conduct an initial review to confirm minimum documents are included:
  ▪ Do not meet minimum requirements: the proposal cannot be reviewed and missing documents will be requested
  ▪ Does meet minimum requirements: the compliant the proposal package will be assigned to OCGA team for review

• Standard communication at key process points

• Once PATS is deployed, we will be able to provide real time data for proposals on the ORA portal
# Steaminising Proposal and Award Processes

<table>
<thead>
<tr>
<th>Minimum Requirements for Review</th>
<th>Requirements for Review, Approval &amp; Submission</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completed EPASS with PI Signature</td>
<td>Completed EPASS with all required signatures</td>
</tr>
<tr>
<td>Sponsor Guidelines</td>
<td>Sponsor Guidelines</td>
</tr>
<tr>
<td>All Sponsor forms requiring OCGA signature</td>
<td>Final Proposal (budget, science, agency required signatures, biosketches, etc.)</td>
</tr>
<tr>
<td>Final Budget with Budget Justification</td>
<td>Subaward Documents (if applicable)</td>
</tr>
<tr>
<td>Brief description of the proposal aims or proposal abstract</td>
<td>PI Exception Letter (if applicable)</td>
</tr>
<tr>
<td>Subaward Documents (if applicable)</td>
<td>Signed/Completed COI forms (if applicable)</td>
</tr>
</tbody>
</table>
STEAMLINING PROPOSAL AND AWARD PROCESSES

Proposal Intake Pilot – First Steps:

• Identify pilot departments
• Meet with departments to discuss process and answer questions
• Confirm departments’ understanding and agreement
STEAMLINING PROPOSAL AND AWARD PROCESSES

Proposal Intake Pilot – Next Steps:
- Pilot begins
- Measure intake and processing timelines
- Share feedback from pilot participants
- Phase in all departments
DANGER IN LATE PROPOSAL SUBMISSION

Complete proposal packages are due into OCGA 5 Business Days prior to Sponsor Deadline

- Over 75% of our monthly proposal volume is received within 0-3 days of the sponsor deadline
DANGER IN LATE PROPOSAL SUBMISSION

**Risks** - If the proposal package is not received within this timeframe, we risk the following:

- Sponsor rejection of incomplete proposals
- Invalidation and system errors
- Underfunding due to budget errors
- Compliance issues that would cause UCLA to reject the award
- Delays in processing awards
DANGER IN LATE PROPOSAL SUBMISSION

• NIH Warns Potential Dangers when submitting an application near the deadline.


The Dangers in Delay
Posted on December 28, 2011

As the electronic submission process has improved, so have the potential dangers when submitting an application near the deadline.
DANGER IN LATE PROPOSAL SUBMISSION

• Single grant analyst received 25 graduate student grant applications within 24 hours of the sponsor deadline
  - No time to review anything – even budgets
  - F&A not properly requested
• Non scientific received early and reviewed; research plan uploaded five minutes prior to deadline
  - No time to open and review attachment
  - After submission and deadline, PI noticed a font color had been changed
  - No chance to submit a change
DANGER IN LATE PROPOSAL SUBMISSION

• Electronic application submitted 5 minutes prior to sponsor deadline
  ▪ Not time to review
  ▪ System errors and page limitations
  ▪ No opportunity to resubmit
DANGER IN LATE PROPOSAL SUBMISSION

HELP US HELP YOU:

• Complete proposal packages are due into OCGA 5 Business Days prior to the sponsor deadline date
• At any other time prior to the 5 day deadline, you can submit a proposal package that includes the minimum required documents
• Advantages:
  ▪ Expedited award processing
  ▪ Sufficient time for review and correction of system errors
  ▪ Project costs are correctly calculated
  ▪ General happiness
NIH SALARY CAP

- Effective 12/23/2011 Decreased Salary Cap - Executive Level II - $179,700
- All applications to all DHHS Operating Divisions — not just NIH, AHRQ and SAMSHA — should not exceed this salary cap
- What does this mean for our current awards?
# NIH Salary Cap

<table>
<thead>
<tr>
<th>Type of FY 2012 Award Received</th>
<th>Executive Level I - $199,700</th>
<th>Executive Level II - $179,700</th>
<th>What Happens to My Awarded Budget?</th>
</tr>
</thead>
</table>
| Competitive (New and Renewal) with Initial Issue Date **on/before 12/22/2011** | X |  | • No decrease in award will be made for first year as Executive Level I salary applies.  
   • Future years will be decreased to adjust to the Executive Level II salary. |
| Non-Competing with Initial Issue Date **on/before 12/22/2011** | X |  | • No decrease in award will be made for the current year and Executive Level I salary applies.  
   • Future years will not be decreased to adjust to the Executive Level II, but Executive Level II salary will apply.  
   • Funds may be re-budgeted elsewhere. |
| Competitive (New and Renewal) with Initial Issue Date **on/after 12/23/2011** | X |  | • Award will be decreased to adjust to the Executive Level II, and the Executive Level II salary applies.  
   • Future years will be decreased to adjust to the Executive Level II. |
| Non-Competing with Initial Issue Date **on/after 12/23/2011** | X |  | • The award made with federal FY2012 funds will not be decreased to adjust to the Executive Level II, but the Executive Level II salary applies.  
   • Future years will also not be adjusted down.  
   • Funds for all years may be re-budgeted elsewhere. |
| FY2011 and prior Awards | X |  | • Awards made with federal FY2012 funds, including carry forward funds from FY2011 and prior, Executive Level I salary applies. |
NCRR Publication Acknowledgement

- The transfer of NIH grants from the National Center for Research Resources (NCRR) to other NIH funding components has led to several questions about the acknowledgement language to be used in publications, press releases, etc. NIH has requested we use the following language:

“This project was supported by the National Center for Research Resources and the [new funding component] of the National Institutes of Health through Grant Number XXXXX.”
EFM Updates

- NIH Salary Cap Guidance for Post Award Management
- Single Fund Number Initiative
- ARRA Funds and Spending Timelines
- Fund Closeout - Department Threshold for Recertification
EFM Updates

- NIH Salary Cap Guidance for Post Award Management
- Single Fund Number Initiative
- ARRA Funds and Spending Timelines
- Fund Closeout - Department Threshold for Recertification
The use of current FY2011 funds and carry-forward funds from FY 2011 and prior fiscal years can be used to pay salary at the Executive Level 1 rate of $199,700.

- EFM is in the process of developing a report that will help us monitor funds that will continue to use the Executive Level I salary cap.

- EFM will review anyone paid at the Executive Level 1 rate of $199,700 to ensure that it complies with the terms of the award.
EFM Updates

- NIH Salary Cap Guidance for Post Award Management
- Single Fund Number Initiative
- ARRA Funds and Spending Timelines
- Fund Closeout - Department Threshold for Recertification
SFN - Benefits

**Use of Single Fund Number started February 1, 2012:**
Long-standing practice called for certain awards such as Program Project Grants, Training Grants, and Cooperative Agreements to be assigned a new fund number for each year of the award. The Single Fund number transitions to one fund number per award for all awards.

**Reduces administrative burden and costs campus wide**
- Elimination of an estimated 1,000 fund set-up and close-outs each year
- Faster activation of continuation awards for PI’s
- Decrease in the number of cost transfers
- Increase in on-time submission of reports and invoices
- Decrease in the number of revised financial reports.
- Decrease in the number of required pre-award spending accounts (RAS)
- Decrease in recycled fund numbers
- Decrease in required changes in recharge IDs for PIs
SFN - Benefits

• On January 30th a memo was sent to ORA News announcing the implementation of single fund number and the many benefits of a transition to single fund number.

• We have received some positive feedback:
  "Thank you for championing this change! This is great news. I also really appreciate the detailed description of the benefits, and I know my faculty will as well. You have made many PIs and Research Administrators very happy today... "
SFN - FAQ’s

• The process for implementing Single Fund Number has been discussed extensively with, and developed by, representatives of RAPID work groups, campus committees, ORA staff, and members of the RAPID Steering and Faculty Advisory Committees.

• Throughout the process we tracked and developed FAQ documentation to aid in the transition to Single Fund Number.

• The FAQ’s were sent out on January 30th in the ORA News announcement and can also be found on the New EFM Website: http://ora.research.ucla.edu/EFM/Pages/EFMAnnouncements.aspx
FAQs for Single Fund Number (SFN)

When is UCLA switching to SFN? ................................................................. 1
Why is UCLA switching to SFN? ............................................................... 1
When does my award receive a new fund number? ................................... 2
My fund ended before February 1, 2012 and I will be receiving another year of funding. Should I request a RAS account or continue in the fund number that is open? ......................... 2
If carry-forward is restricted and we do not yet have approval from the sponsor, how do we handle this under SFN? What happens when it is approved or rejected? ............................................. 2
I noticed account 400005 has been linked to my fund. What is this account? ........................................................... 2
How do we monitor whether or not there is pre-award spending on continuation years if everything is under one fund number? ......................................................... 2
If all of my expenses are on one fund number, how do I know if the expense applies to year 1 or year 2? Can I revise the report or invoice if an expense hits after the end date? .................... 3
What if a subrecipient has not submitted the final invoice before the financial report or invoice is due? ................................................................. 3
Do I have to complete a closeout packet using the RAPID SMART Closeout Tool if my fund number is continuing? .......................................................... 3
How does SFN work for training grants? ...................................................... 4
I have a fund with unusual terms and conditions or the sponsor requires separate numbers each year. How can I request multiple fund numbers, if needed? ................................. 4
Language on the 90, 30, and 0 day notices has been updated to represent the *budget period* and not the *project period*. These notices are more generic so please pay attention to your budget versus your project period end date.

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**Notification Attention and Subject**

**90 Day Notification**
- To: PI
- Cc: Department Administrator
- Subject: IMPORTANT NOTICE: **Sponsored Award Budget Period Expires in 90 Days**

**30 Day Notification**
- To: Department Administrator
- Cc: PI
- Subject: IMPORTANT NOTICE: **Sponsored Award Budget Period Expires in 30 Days**

**Fund Expiration Notification**
- Subject: IMPORTANT NOTICE: **Sponsored Award Budget Period Has Expired**
Please complete all necessary actions below:
ENSURE ALL DELIVERABLES HAVE BEEN COMPLETED AND SUBMITTED TO SPONSOR (including):
  Progress Reports, Invention Statements, Technical Reports

FUND IS TO REMAIN OPEN: Please work with your OCGA/OCT/OIP and EFM contacts, as needed, on the following:
  Non-Competing Continuations
  Amendment Request (Renewal, Additional Funding, etc.)
  No Cost Time Extension Request
  Carry Forward Request
  Collect Final Subawardee Invoice for the budget period (all final subawardee invoices are due to UCLA 45 days after the budget end date)

FUND IS READY TO CLOSE:
Complete the RAPID Smart Closeout Tool and submit to EFM by the deadline. The tool can be downloaded here:
http://portal.research.ucla.edu/index.aspx?Section=PostAward
SFN – Process

Process for Interim Financial Reports
- EFM completes the financial report based on the General Ledger expenses
- EFM reviews the unallowables and will send the Interim Report and a list of the unallowables to the department fund manager
- Dept. fund manager has 5 days to review and approve the interim financial report and respond to EFM
- If dept. does not respond within 5 days EFM will submit the interim report (excluding the unallowables) to the sponsor

Process for Restricted Carry-Forwards:
- EFM completes the financial report, indicating carry-forward amount to be requested
- EFM will de-appropriate the funds from the current year and move the funds to a carry-forward holding account (400005) linked to the current fund
- Dept. continues to work with OCGA to request carry-forward
- Once approved, funds will be re-appropriated and removed from carry-forward holding account
Exceptions to this new process will be granted on a very limited basis.

Requests for exceptions can be submitted for review using the Exception Request Form (also sent out on January 30th in the ORA News and can be found on the EFM website).

Form should be completed and submitted to the intake team - oraawards@research.ucla.edu

The form will be reviewed by ORA Leadership.
SFN – Exception Request Form

Single Fund Number Exception Request

Please complete the form below to request an exemption to single fund number. Once complete, please submit to the Intake Team at research.ucla.edu. Requests must be submitted by the Home Department.

Current Fund Number:
Dept:
Dept Contact:
Contact Email:

Does the Sponsor Require Separate Fund Numbers for each year?  ☐ Yes  ☐ No

If yes, please attach the Sponsor language supporting this.

If no, please enter a justification as to why this award should be exempt from Single Fund Number?

Please submit this form to the Intake Team.
EFM Updates

- NIH Salary Cap Guidance for Post Award Management
- Single Fund Number Initiative
- **ARRA Funds and Spending Timelines**
- Fund Closeout - Department Threshold for Recertification
ARRA Updates

Memo will be sent to the ARRA Listserv:

• OMB will limiting no-cost extensions for funds beyond September 30, 2013
• Other agencies have released notices indicating that they will not allow no-cost extensions for ARRA funds beyond September 30, 2013.
• Prior written approval to extend beyond the September 30, 2013 date will only be considered if one or more of the following circumstances exist:
  ▪ The project is long-term by design, and acceleration would compromise core programmatic goals.
  ▪ The project must undergo a complex environmental review that cannot be completed within this time frame.
  ▪ Contractual commitments by the grantee with vendors or sub-recipients prevent adjusting the timeline for spending.
  ▪ Other special circumstances may exist
ARRA Updates

• Recent letters from NSF have requested that PIs with ARRA Awards that (1) extend beyond September 30, 2013 or (2) are eligible for no cost-extensions that will extend the award beyond September 30, 2013 submit a written request for the extension to their Program Officer.

• The requests that we have seen from NSF have a due date of March 2nd.

Please review all your ARRA awards and contact your Program Officer as soon as possible if you have awards that:

1) Extend beyond Sept. 30, 2013

2) End before Sept. 30, 2013 but you will anticipate the need for a no-cost extension
ARRA Updates

EFM will be following-up with e-mail reminders to specific PIs who have ARRA awards which:

• Have end dates that extend beyond September 30, 2013

or

• Have a balance greater than 100k
EFM Updates

- NIH Salary Cap Guidance for Post Award Management
- Single Fund Number Initiative
- ARRA Funds and Spending Timelines
- Fund Closeout - Department Threshold for Recertification
Department Threshold

- PI Threshold remains $500
- As of February 1st we have implemented a department threshold for recertification of closeout packets of $100

What does this mean?

- Department submits their closeout packet to EFM.
- EFM reviews the closeout packet and the final number differs from the department by > <$100. EFM will not be required to receive re-approval from the department and can submit the final invoice and/or financial report to the sponsor.
- EFM will e-mail the final invoice and/or financial report to the department.
UCLA Policy 900: Principal Investigator Eligibility

- Sets forth the eligibility requirements, duties and responsibilities of a UCLA Principal Investigator

- Describes the processes for requesting and approving exceptions to the eligibility requirements
UCLA Policy 900: Principal Investigator Eligibility

- Updates effective January 17, 2012

- Changes made in response to feedback from the Graduate Division and departments

- Primary changes affect postdoctoral scholars and other trainees who may not normally serve as a PI, Co-PI or Multiple PI
UCLA Policy 900: Principal Investigator Eligibility

- Policy amended to reflect UCLA’s recognition of the fact that proposal preparation is an important aspect of training

- Policy now indicates that postdoctoral scholars and other trainees may apply for research training and mentored training grants that help enhance their professional skills and prepare them for research independence
UCLA Policy 900: Principal Investigator Eligibility

• Other changes made to provide clarification and to emphasize the fact that academic units must provide space and access to facilities, and take responsibility for effectively managing projects when they support PI exception requests.
UCLA Policy 900: Principal Investigator Eligibility

• Requests for exceptions:
  ▪ Reviewed and approved by campus officials with authority to grant exceptions (see UCLA Delegation of Authority 201.05)
  ▪ Individual schools may make local decisions about review of PI exception requests
Questions or Comments

Please send any questions or comments to:

rapidfeedback@research.ucla.edu